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J1050 U.S. PTO  
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20/61/20  
02/19/02

## TRANSMITTAL OF UTILITY PATENT APPLICATION FOR FILING

Certification under 37 CFR 1.10 (if applicable)

EV042450500US

February 19, 2002

Express Mail" mailing label number

Date of Deposit

I hereby certify that this Transmittal letter, enclosed application, and any other documents referred to as enclosed herein, are being deposited in an envelope with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and addressed to the Box Patent Application, Commissioner for Patents, Washington, D.C. 20231.

Cedric Rodgers

(Typed or printed name of person mailing application)

*Cedric Rodgers*

(Signature of person mailing application)

BOX PATENT APPLICATION  
COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

Attorney Docket No. TSRI 598.0 Con.1Customer Number 002387

Sir:

Transmitted herewith for filing is the utility patent application of inventor(s): **Carlos F. Barbas, III and Christoph Rader**and entitled: **HUMANIZATION OF MURINE ANTIBODY**

## 1. Type Of Application

This application is:

- ☐ an original (nonprovisional) application.  
☐ a division of prior application Serial No. \_\_\_\_\_  
☒ a continuation of prior application Serial No. 08/986,016  
☐ a continuation-in-part of prior application Serial No. \_\_\_\_\_

☒ The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

☒ The prior application is assigned of record to: The Scripps Research Institute

## 2. Enclosed Application Elements are:

- ☒ A duplicate copy of this transmittal letter,  
☒ specification (including claims and abstract) containing pages 1- 41 ;  
☒ drawings: ☐ 1 copy of \_\_\_\_\_ sheet(s) of formal drawings, **OR**  
☒ 1 copy of Fourteen (14) sheet(s) of informal drawings,  
☐ an executed declaration or oath for the utility patent application including a power of attorney, **OR**  
☐ an unexecuted declaration or oath for the utility patent application including a power of attorney, **OR**  
☒ a copy of an executed declaration or oath including power of attorney from a priority application,  
☐ statement deleting inventor(s) named in the priority application  
☐ Microfiche Computer Program  
☒ nucleotide and/or amino acid sequence  
     a. ☒ computer readable copy  
     b. ☒ paper copy  
     c. ☒ statement verifying above copies

# TRANSMITTAL OF UTILITY PATENT APPLICATION FOR FILING

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## 3. Enclosed Accompanying Application Parts are:

- ☐ Preliminary Amendment  
☐ Claim cancellations are indicated in Preliminary Amendment  
☒ one itemized, stamped, and self-addressed postcard for the PTO Mail Room date stamp.  
☐ English translation document  
☐ Information Disclosure Statement including Form PTO-1449 and copies of the citations therein.

## 4. Small entity status

- ☐ Applicant claims small entity status. See 37 CFR 1.27.

## 5. Filing Fees (as calculated below)

For:	(Col. 1) Number Filed	(Col. 2) Number Extra	Rate	Fee
Basic Fee				\$ 740
Total Claims	15 — 20	= -0-	x \$ 18 =	\$ -0-
Independent Claims	2 — 3	= -0-	x \$ 84 =	\$ -0-
Multiple Dependent Claim Presented (if applicable)			+ \$280 =	\$ N/A
Subtotal				\$ 740
Reduction by 50% for filing by small entity				\$ N/A
TOTAL				\$ 740

\* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

- ☐ Please charge my Deposit Account No. 15-0508 in the amount of \$\_\_\_\_\_.
- ☒ A check in the amount of \$ 740.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is authorized to charge payment of the following amounts associated with this communication or credit any overpayment to Deposit Account No. 15-0508:
- ☒ Additional filing fees under 37 CFR 1.16 or deficiencies in remittances therefor.
- ☒ Additional processing fees under 37 CFR 1.17 or deficiencies in remittances therefor.
- ☒ **ONLY if applicant has partially paid** the patent issue fee under 37 C.F.R. §1.18, then the **deficiency** shall be charged to Deposit Account No. 15-0508, and the Commissioner is authorized to so charge the Deposit Account.
- ☒ The Commissioner is hereby generally authorized under 37 CFR 1.136(a)(3) to treat any future reply in this or any related application filed pursuant to 37 CFR 1.53 requiring an extension of time as incorporating a request therefor, and the Commissioner is hereby specifically authorized to charge Deposit Account No. 15-0508 for any fee that may be due in connection with such a request for an extension of time.

Date: February 19, 2002

Attorney's Signature

*Robert J. Ross*

Name and Registration No. Robert J. Ross (Reg. No. 45,058)

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Carlos F. Barbas, III et al.	)	
Serial No.:	Not Yet Assigned	)	
	(continuation of Serial No. 08/986,016)	)	
Filed:	February 19, 2002	)	Prior Application Art Unit: 1642
For:	HUMANIZATION OF MURINE	)	
	ANTIBODY	)	
Prior Application		)	
Examiner:	Larry R. Helms, Ph.D.	)	Atty. Docket No.: <u>TSRI 598.0 Con.1</u>

**STATEMENT UNDER 37 CFR 1.821(f)**

Box Patent Application  
Commissioner for Patents  
Washington, D. C. 20231

Sir:

I hereby state that, to the best of my information and belief, the sequence listing information recorded in computer readable form is identical to the paper copy of the Sequence Listing, submitted in accordance with 37 CFR 1.821 (c) and (e).

Respectfully submitted,

February 19, 2002

By Robert J. Ross  
Robert J. Ross (Reg. No. 45,058)

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